

PAPERWORK REDUCTION ACT CHANGE WORKSHEET

Agency/Subagency Office of Vocational and Adult Education		OMB Control Number 1830-0026
Enter only items that change Current Record		
Agency form number(s)	NA	NA
Annual reporting and record keeping hour burden		
Number of respondents	0	0
Total annual responses	0	0
Percent of these responses collected electronically	0	0
Total annual hours	0	0
Difference		0
Explanation of difference		0
Program Change		0
Adjustment	Reduction in burden	0
Annual reporting and record keeping cost burden (in thousands of dollars)		
Total annualized capital/startup costs	0	0
Total annual costs (O&M)	0	0
Total annualized cost requested	0	0
Difference		0
Explanation of difference		0
Program Change		0
Adjustment		0

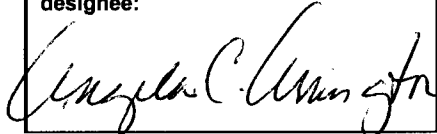
Other change**

To receive funds under the Adult Education and Family Literacy Act (AEFLA), states must submit state plans that meet the requirements of the Act and agree upon annual levels of performance for core indicators of performance identified in the law. AEFLA authorized appropriations through FY 2003 and states submitted, and the Department approved, state plans through FY 2003. Congress failed to enact new legislation before the end of FY 2003; section 422(a) of the General Education Provisions Act (GEPA), however, automatically extended the law and authorized appropriations for FY 2004. In 2003, the Department issued guidance (1830-0026) asking states to submit a revised state plan for FY 2004, as well new proposed performance levels. Congress failed to enact new legislation to reauthorize AEFLA Act for FY 2005 or for FY 2006, but extended the program for an additional year in the FY 2005 and FY 2006 appropriations law respectively. The Office of Vocational and Adult Education must therefore solicit revised state plans for FY 2006 and new proposed performance levels. We are proposing to modify 1830-0026 to collect this information.

The modifications we are proposing would:

- Indicate that AEFLA was extended for an additional year by the FY 2006 appropriations law;
- Update the relevant dates (i.e., request plan extensions and performance levels for FY 2006, rather than FY 2005).

Signature of Senior Officer or
designee:



Date:

11-17-05

For OIRA Use

**This form cannot be used to extend an expiration date
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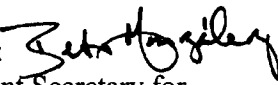
UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF VOCATIONAL AND ADULT EDUCATION

THE ASSISTANT SECRETARY

PROGRAM MEMORANDUM OVAE/DAEL FY 2006-02

TO: State Directors of Adult Education

FROM: Beto Gonzalez 
Acting Assistant Secretary for
Vocational and Adult Education

SUBJECT: Extension of the Adult Education and Family Literacy Act

DATE: December 19, 2005

This memorandum describes our policy in implementing an extension of the Adult Education and Family Literacy Act (AEFLA). This action is necessary to give states as much advance notice and flexibility as possible in submitting any revisions needed in their current state plans, including establishment of performance levels for the coming program year.

Need for Revising Current State Plans

The FY 2006 appropriations statute, Public Law 109-077 [119 Stat. 2037], extends currently operating adult education programs, including AEFLA's adult education state grant program, for one year. State plans are required for states to receive allotments under AEFLA. Last year, OVAE approved a one-year extension of operating plans but those extensions will expire on June 30, 2006. The states and OVAE need to agree upon new performance targets for the coming year and the new targets must be incorporated into the existing state plans as a revision.

As you know, adult education has experienced great variation in state performance. We have put in place a data quality checklist that state directors must use to certify the accuracy of data submitted to OVAE. Our expectation, and the requirement of the law, is that each state will continuously improve its performance levels in a substantive way. Therefore, performance levels proposed for a future year must exceed the actual performance of the current year.

Requirements for Revising Current State Plans

The process for state plan revisions is established in Section 224(c) and (d) of AEFLA. States are expected to follow this process in addition to any state-imposed requirements for submitting state plan revisions:

1. Revisions, including the new performance targets we agree on, must be submitted to OVAE no later than April 1, 2006. In their revisions, states must indicate whether they intend to extend current grants for one year or conduct a one-year competition. Performance targets proposed must exceed actual performance measured in the prior year. It is advisable to discuss proposed targets with OVAE prior to submission to ensure that levels are appropriate and approvable. Your area coordinator will contact you by telephone during the period from January 30 through February 10 to discuss the performance levels proposed by your state for Program Year 2006-2007.
2. Revisions must be submitted to the Governor and any comments made by the Governor must be submitted to OVAE with the plan revisions.
3. Revisions must include any new uses of funds that were incorporated in the existing state plan.
4. Revisions must include updated certifications and assurances with original signatures.

Please feel free to contact your area coordinator for technical assistance in meeting these requirements. We look forward to working with you.

Attachments

**Guide for the Development of a State Plan
under the
Adult Education and Family Literacy Act
(Title II of the Workforce Investment Act of 1998)**



OMB Control # 1830-0026

Expires: 0405/3031/20052008

**U.S. Department of Education
Office of Vocational and Adult Education
Division of Adult Education and Literacy
Washington, D.C. 20202-7240**

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Appendix A. Certifications and Assurances

Introduction

Revising a State Plan

Each eligible agency receiving an adult education grant shall submit to, or have on file with, the Secretary a state plan for adult education and family literacy. State eligible agencies that previously submitted a plan will be submitting revisions in their adult education plan for Program Year ~~2005~~2006-2006~~2007~~, including performance targets for that year. Performance targets must exceed actual performance for the prior year. These revisions will enable the department to extend the plans for one year and make allotments of federal adult education funds on July 1, ~~2005~~2006.

To assist states in developing revisions to their plans, we are reinstating our original *Guide*, which includes appropriate references to various sections of the Adult Education and Family Literacy Act (AEFLA) or federal regulations. Submissions currently required need be only pertinent revisions, not full plans. In addition to new performance levels for Program Year ~~2005~~2006-2006~~2007~~, for example, states receiving Census-driven increases in their allotments would indicate what new state leadership activities they planned to undertake. States revising their funding formulas would outline these new formulas in their state plan revisions. These revisions are simply updated sections of the original plans. Revisions must meet requirements set for the original sections summarized below.

Transmittal

Revisions to the five-year state plan must be submitted to the Department of Education by April 1, ~~2005~~2006.

Electronic Submission: We strongly encourage eligible agencies to submit revisions electronically to expedite their review and approval. Revisions may be transmitted in a PC-compatible format (Microsoft Word or ASCII) by electronic mail to Joyce Campbell, Team Leader, at joyce.campbell@ed.gov or by OVERNIGHT delivery of a disk to the address below.

Submission by OVERNIGHT Delivery Service of Assurances and Certifications: If you choose to submit your revisions electronically, you must, in addition, send to us one signed original and two copies of the

assurances and certifications. These required assurances and certifications are found in Appendix A. Be sure to use a service that brings documents to our physical address, rather than our mail agency mailroom. Please note that the U.S. Postal Service's overnight mail does not directly deliver to us. Sending mail to the mailroom rather than by overnight services can delay receipt and review of revisions due to mail security requirements. You may also choose to submit a hard copy of your complete revisions by overnight delivery, including the signed assurances and certifications, but we encourage you to submit your revisions electronically to us.

Our physical delivery address is:

Cheryl L. Keenan, Director
Division of Adult Education and Literacy
U.S. Department of Education
550 12th Street SW
Washington, DC 20002-7240
Phone: 202-245-7000

Through delegated authority, the Assistant Secretary for Vocational and Adult Education approves state plans.

Format of the Plan Revision

An eligible agency has discretion in establishing the format of its state plan revisions, but it must address the requirements of the current legislation and the procedures contained in this *Guide*. States may send OVAE either only the revised sections or the entire plan in which revisions have been clearly marked, for example in Microsoft Word Track Changes format. The eligible agency should include in its plan revision an updated organizational chart reflecting the line of authority from the authorized state official signing the plan revision to the state director of adult education.

1.0 Eligible Agency Certifications and Assurances

[States must submit new, signed copies of these documents]

1.1 Certifications (EDGAR 76.104, Certifications and Assurances—a preprinted copy is included as Appendix A)

- (1) The plan is submitted by the state agency that is eligible to submit the plan.
- (2) The state agency has authority under state law to perform the functions of the state under the program.
- (3) The state legally may carry out each provision of the plan.
- (4) All provisions of the plan are consistent with state law.
- (5) A state officer, specified by title in the certification, has authority under state law to receive, hold, and disburse federal funds made available under the plan.
- (6) The state officer who submits the plan, specified by title in the certification, has authority to submit the plan.
- (7) The agency that submits the plan has adopted or otherwise formally approved the plan.
- (8) The plan is the basis for the state operation and administration of the program.

1.2 Assurances (Sec.224 (b) (5), (6), and (8) of AEFLA)

- (1) An assurance that the eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which the eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.
- (2) An assurance that the funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
- (3) An assurance that the eligible agency will expend the funds under this subtitle only in a manner consistent with fiscal requirements in section 241.

1.3 Assurance for Unified Plans Only (Title V—General Provisions
Sec.501(c)(3)(B))

(1) An assurance that the methods included an opportunity for the entities responsible for planning or administering such programs and activities to review and comment on all portions of the unified plan.

2.0 **Needs Assessment (Sec. 224(b)(1))**
[States are not required to update this section]

2.1 Individuals Most in Need

An objective assessment of individuals in the state or outlying area for adult education and literacy activities. The assessment should include individuals most in need or hardest to serve.

2.2 Populations

Information on populations should include:

- (1) Low income adult learners who are educationally disadvantaged;
- (2) Individuals with disabilities;
- (3) Single parents and displaced homemakers;
- (4) Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency;
- (5) Criminal offenders in correctional institutions and other institutionalized individuals.

Other populations, such as homeless adults, or children who are eligible to participate in family literacy programs, may also be included in the descriptions.

The term “displaced homemaker” is defined by section 101(10) of WIA:

“(10) DISPLACED HOME MAKER.—The term ‘displaced homemaker’ means an individual who has been providing unpaid services to family members in the home and who—
(A) has been dependent on the income of another family member but is no longer supported by that income; and

(B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.”

Further Information

Data should serve as a basis for enabling the agency to fund programs providing:

- (1) adult education and literacy services, including workplace literacy services;
- (2) family literacy services; and
- (3) English literacy programs.

Information may be obtained from local programs, census data, secondary analysis of data sources from other agencies, or a recent needs assessment.

If possible, it is recommended that the eligible agency conduct mutual assessments (either at the state or sub-state level) with its WIA and program partners or, at a minimum, create a planning process that promotes the sharing of needs assessment information. Sharing of assessment data can create the framework for coordinated and integrated services that are to be carried out through the one-stop delivery system established by WIA.

Also, because the state, under Title I, may require assessment requirements to support local plans developed by the local workforce development boards it is recommended that the eligible agency consider localizing its needs assessment. This local assessment information could prove valuable to local providers as they contribute to the work of local workforce boards. See also Section 9.0 of this *Guide*.

3.0 Description of Adult Education and Literacy Activities (Sec. 224(b)(2))

3.1 Descriptions of Allowable Activities

Descriptions of required local activities should include one or more programs that provide services or instruction in one or more of the following categories:

- (1) Adult education and literacy services, which may include workplace literacy services (Sec. 203 (18) defines these as “literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills”);
- (2) Family literacy services; and
- (3) English literacy programs (Sec. 231)(b)).

The state plan should include as a minimum the scope, content, and organization of local activities.

3.2 Special Rule [Uses of Funds for Family Literacy]

Each eligible agency awarding a grant or contract under Sec. 231 [of AEFLA] shall not use any funds made available under this subtitle for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(1), except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy services. In providing family literacy services under this subtitle, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities other than adult education activities (Sec. 231(d)).

3.3. Descriptions of New Organizational Arrangements and Changes

Describe organizational changes at the state (include organizational chart) and local level including: one-stop delivery system, performance reporting for eligible providers, and state leadership activities.

4.0 **Annual Evaluation of Adult Education and Literacy Activities (Sec. 224(b)(3))**

4.1 Annual Evaluations

A description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities, based on the performance measures in Sec. 212 must be included. Information should be provided that describes how other program reviews and evaluations of state-

administered adult education programs, services and activities under the Act will be conducted.

The department strongly encourages states to evaluate the extent to which local programs employ scientifically based research in designing and implementing their programs and to compare the outcomes achieved by programs implementing different instructional strategies to gain some insight into their relative effectiveness that may merit further exploration and research. States should use the information and insights gained from these evaluations to inform its planning and allocation of resources. If an instructional strategy appears to be promising based on the results of program evaluations, the state should consider investing resources in further investigating the effectiveness of the strategy or disseminating information about its initial findings to other local programs.

Evaluation activities may include self-evaluation of program activities; assessments of progress in achieving state goals for adult education; the extent to which adult education goals for workers, the homeless, and other special populations have been met; the extent to which state adult education technology needs have been met; follow-up studies of former participants at 6-month, 12-month, and 15-month intervals; reviews of the effectiveness of teacher training; and the use of evaluation results to determine achievement of levels of performance for each of the core indicators for the eligible agencies (see Sec. 5.0 of the *Guide*).

Further Information

Describe measures, such as indicators of program quality, to ensure that program services and activities will take into account the findings of program reviews and evaluations.

5.0 Performance Measures (Sec. 224(b)(4)) **[Required for revisions]**

5.1 Eligible Agency Performance Measures (Sec. 212)

This section describes a comprehensive performance accountability system, comprised of activities to assess the effectiveness of eligible agencies in achieving continuous improvement in adult education and literacy activities

under this subtitle to optimize the return on investment of federal funds in adult education and literacy activities.

The eligible agency performance measures shall at a minimum consist of the core indicators of performance described in Sec. 212 (b)(2)(A):

- (1) Demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem-solving, English language acquisition, and other literacy skills.
- (2) Placement in, retention in, or completion of, postsecondary education, training, unsubsidized employment, or career advancement.
- (3) Receipt of a secondary school diploma or its recognized equivalent.

5.2 Optional - Additional Indicators

An eligible agency may identify additional indicators for adult education and literacy activities authorized under this subtitle. Levels of performance shall be considered as the eligible agency adjusted levels of performance for purposes of the plan.

5.3 Levels of Performance

Each eligible agency submitting a state plan revision shall establish levels of performance for adult education and literacy activities authorized under AEFLA. The levels of performance established in the revision shall at a minimum:

- (1) be expressed in an objective, quantifiable, and measurable form;
- (2) show the progress of the eligible agency toward continuous improvement in performance; and
- (3) exceed the actual performance level for each indicator measured in the prior year.

5.4 Factors (Sec. 212(b)(3)(A)(iv))

In preparing proposed levels of performance, the eligible agency shall take into account the following:

- (1) How the levels compare with the eligible agency adjusted levels of performance established for other eligible agencies, taking into account factors including the characteristics of participants who enter the program, and the services or instruction to be provided; and
- (2) The extent to which such levels promote continuous improvement in performance on the performance measures by such eligible agencies to ensure optimal return on the investment of federal funds.

Further Information

At a minimum, the eligible agency should identify and describe the process to be used to report on performance indicators common to the other programs in the WIA. (If the employment and training system is not prepared to discuss this issue, the eligible agency should insert a placeholder in the plan to be completed once plans can be developed with the other program partners.)

The eligible agency should include a description, when appropriate, of the process and procedures the state will use to develop and submit an application to compete for an incentive award.

The eligible agency should include a description, when appropriate, of the performance information that local providers must report to one-stop centers to become and remain eligible to receive various funds under Title I and describe the process used to identify and report performance information the one-stop center will make available to prospective clients.

6.0 Procedures for Funding Eligible Providers (Sec. 224 (b)(7)) ***[Required for Revisions]***

6.1 Applications

States must submit revisions to this section indicating whether they plan to extend current grants or conduct a one-year competition. If the one-year competition is selected, states must describe how the eligible agency will fund local activities in accordance with the considerations contained in Sec. 231 (e). (See Sec. 224 (b)). Each eligible provider desiring a grant or contract under AEFLA shall submit an application to the eligible agency containing information and assurances as the agency may require, including:

- (1) A description of how funds awarded under AEFLA will be spent; and
- (2) A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities.-(Sec. 232)

6.2 Eligible Providers (Sec. 203 (5))

Eligible providers for a grant or contract are:

- (1) A local educational agency;
- (2) A community-based organization of demonstrated effectiveness;
- (3) A volunteer literacy organization of demonstrated effectiveness;
- (4) An institution of higher education;
- (5) A public or private nonprofit agency;
- (6) A library;
- (7) A public housing authority;
- (8) A nonprofit institution that is not described in any of these subparagraphs and has the ability to provide literacy services to adults and families; and
- (9) A consortium of the agencies, organizations, institutions, libraries, or authorities described in any of items (1) through (8) (Sec. 203)(5))

Community-based organizations and non-profit institutions include non-profit faith-based organizations.

6.3 Notice of Availability

Describe the process to show that public notice was given of the availability of federal funds to eligible recipients. (See Sec. 10 for information on direct and equitable access.)

6.4 Process

Describe the procedures for submitting applications to the state including approximate time frames for the notice and the receipt of applications.

6.5 Evaluation of Applications (Sec. 231 (e))

In awarding grants or contracts under this section, the eligible provider shall consider:

- (1) The degree to which the eligible provider will establish measurable goals;
- (2) The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under Sec. 212 of AEFLA, the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with lower levels of literacy;
- (3) The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills;
- (4) Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains; and uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read;
- (5) Whether the activities are built on a strong foundation of research and effective educational practice;
- (6) Whether the activities effectively employ advances in technology, as appropriate, including the use of computers;
- (7) Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship;
- (8) Whether the activities are staffed by well-trained instructors, counselors, and administrators;
- (9) Whether the activities coordinate with other available resources in the community, such as establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies;
- (10) Whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to

enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
(11) Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures; and
(12) Whether the local communities have a demonstrated need for additional English literacy programs (Sec. 231)(e)).

6.6 Special Rule (Sec. 223(c))

Whenever a state or outlying area implements any rule or policy relating to the administration or operation of a program authorized under AEFLA that has the effect of imposing a requirement that is not imposed under federal law (including any rule or policy based on a state or outlying area interpretation of a federal statute, regulation, or guideline), the state or outlying area shall identify, to eligible providers, the rule or policy as being state--or outlying area-imposed.

If a state agency plans to create any such rule or policy, the agency should send ED a copy when the rule or policy is implemented.

Further Information

If appropriate, the eligible agency should describe any guidance being developed jointly with the state agency responsible for WIA Title I programs regarding the scope and implementation of the required MOUs between local formal partners and the one-stop system. For example, what will be the eligible agency's policy, if any, on the range of services and activities to be integrated at the local level and what types of financial arrangements will be allowable between local providers and the one-stop centers? See also Section 9.0.

If appropriate, the eligible agency should describe the process to be used to allocate state leadership funds to provide incentive awards to local providers for local coordination and integration with the one-stop system.

7.0 Public Participation and Comment (Sec. 224 (b)(9))

7.1 Description of Activities

This section should describe the types of activities and outcomes that were conducted to meet this requirement. The eligible agency should include specific information on how the various WIA agency and program partners were involved in developing the adult education state plan.

7.2 Governor's Comments [*Required for revisions*]

The eligible agency shall submit the state plan and any revisions of the state plan to the Governor of the state or outlying area for review and comment and ensure that any comments regarding the state plan are submitted to the Secretary (Sec. 224)(d)). Please note that the Governor's comments must be submitted to us along with your state plan revisions.

Further Information

This could include consultations with other appropriate agencies, groups, and individuals that are involved in, or interested in, the development and implementation of activities assisted under AEFLA. The department encourages states to include contacts with faith-based organizations in these consultations. Activities that may be used by state agencies include:

- (1) Conducting a series of public meetings across a state;
- (2) Conducting a series of interactive video conferences;
- (3) Sending copies out to public locations, such as libraries, for comment;
- (4) Requesting responses by Internet;
- (5) Presenting local data and needs to area officials and stakeholders;
- (6) Sending copies of the draft plan to agency officials for comment;
- and
- (7) Establishing a listserv for dialogue.

Also, the eligible agency should ensure that current state requirements for developing a state plan revision are met.

The eligible agency should include specific information on how the various WIA agency and program partners and others were involved in developing the adult education state plan.

8.0 Descriptions of Program Strategies for Populations (Sec. 224 (b)(10))

8.1 Strategies

Data from needs assessments could assist the agency in developing innovative approaches to serving various population cohorts as a minimum. Include populations mentioned in 2.2 of the *Guide*.

Examples of existing strategies might include: a television series for students with limited English proficiency, such as *Crossroads Café*; expanding services to students in low-income housing projects; or initiating GED on the Internet for single parents and displaced homemakers unable to easily leave home.

Further Information

Data could also be obtained from some of the other related programs involved in the planning, development, or implementation of the WIA.

9.0 Integration with Other Adult Education and Training (Sec. 224 (b)(11))

9.1 Description of Planned Integrated Activities

A description of how the adult education and literacy activities that will be carried out with any funds received under AEFLA will be integrated with other adult education, career development, and employment and training activities in the state or outlying area served by the eligible agency (Sec. 224)(b)(11)). For example, the eligible agency may wish to describe how adult education activities will be made available through the one-stop delivery system established by WIA.

9.2 State Unified Plan

Sec. 501 of WIA permits a state to submit its plan for adult education and literacy as part of a state unified plan. See Sec. 501 for details on how the adult education plan could relate to the state plan for the following programs under a unified plan:

- (1) Secondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.);
- (2) Postsecondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.);
- (3) Activities authorized under Title I;
- (4) Programs authorized under Section 6(d) of the Food Stamp Act of 1977 (7 U.S.C. 2015(d));
- (5) Work programs authorized under Section 6(o) of the Food Stamp Act of 1977 (7 U.S.C. 2015(o));
- (6) Activities authorized under Chapter 2 of Title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.);
- (7) Programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.);
- (8) Programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), other than Section 112 of such Act (29 U.S.C. 732);
- (9) Activities authorized under Chapter 41 of Title 38, United States Code;
- (10) Programs authorized under state unemployment compensation laws (in accordance with applicable Federal law);
- (11) Programs authorized under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- (12) Programs authorized under Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.);
- (13) Training activities carried out by the Department of Housing and Urban Development; and
- (14) Programs authorized under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.).

If your state will be submitting a unified plan, describe the activities that will be coordinated within your state.

10.0 Description of the Steps to Ensure Direct and Equitable Access (Sec. 224 (b)(12))

10.1 Description of Steps

Describe the steps the eligible agency will take to ensure direct and equitable access, as required in Section 231(c).

10.2 Notice of Availability

Each eligible agency receiving funds under this subtitle shall ensure that—

- (1) all eligible providers have direct and equitable access to apply for grants or contracts under this section; and
- (2) the same grant or contract announcement process and application process is used for all eligible providers in the State or outlying area. (Sec. 231)(c)).

Further Information

Describe how applicants will apply for: Sec. 231—local activities, Sec. 223—state leadership, and Sec.225—corrections education and other institutionalized individuals. Include the process the agency will use to ensure public notice will be given concerning the availability of federal and state funds to eligible recipients throughout the state.

11.0 Programs for Corrections Education and other Institutionalized Individuals (Sec. 225)

11.1 Types of Programs

From funds made available under Sec. 222(a)(1) for a fiscal year, each eligible agency shall carry out corrections education or education for other institutionalized individuals, including academic programs. Funds shall be used for the cost of educational programs for criminal offenders in correctional institutions and for other institutionalized individuals, including academic programs for:

- (1) Basic education;
- (2) Special education programs as determined by the eligible agency;
- (3) English literacy programs; and
- (4) Secondary school credit programs.

11.2 Priority

Each eligible agency that is using assistance programs under this section to carry out a program for criminal offenders in a correctional institution shall give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

11.3 Types of Institutional Settings

Correctional institution means any

- (1) Prison;
- (2) Jail;
- (3) Reformatory;
- (4) Work farm;
- (5) Detention center; or
- (6) Halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.

Further Information

Describe the policies, procedures, and activities for carrying out corrections education or education for other institutionalized individuals.

Note: The eligible agency may not spend more than the 10 percent of the 82.5 percent of the state grant that must be allotted to local programs for Sec. 225 activities.

12.0 State Leadership Activities (Sec. 223 (a), (b))

12.1 Description of Activities

Each eligible agency shall use funds made available under Section 222(a)(2) for one or more of the following adult education and literacy activities:

- (1) The establishment or operation of professional development programs to improve the quality of instruction provided pursuant to local activities required under Section 231(b) including instruction incorporating phonemic awareness, systematic phonics, fluency, and

reading comprehension, and instruction provided by volunteers or by personnel of a state or outlying area.

(2) The provision of technical assistance to eligible providers of adult education and literacy activities.

(3) The provision of technical assistance, including staff training, to eligible providers of adult education and literacy activities to enable the eligible providers to improve the quality of such activities.

(4) The support of state or regional networks of literacy centers.

(5) The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities.

(6) Incentives for program coordination and integration and performance awards.

(7) Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension.

(8) Other activities of statewide significance that promote the purpose of this title.

(9) Coordination with existing support services, such as transportation, child care, and other assistance designed to increase rates of enrollment in, and successful completion of, adult education and literacy activities, to adults enrolled in such activities.

(10) Integration of literacy instruction and occupational skill training, and promoting linkages with employers.

(11) Linkages with postsecondary educational institutions.

12.2 Description of Joint Planning and Coordination for Unified Plan Only (Title V—General Provisions, Sec. 501(c)(3)(A))

Information should contain a description of the methods used for joint planning and coordination of the programs and activities included in the unified plan.

12.3 Description of Activities under Section 427 of the General Education Provisions Act (GEPA).

This section should include information describing the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other beneficiaries with special needs. Information should describe the steps such applicant proposes to take to ensure equitable access to, and equitable participation in,

the project or activity to be conducted with such assistance by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability, and age. As a minimum two illustrations shall be included: (1) Actions the eligible agency will take under Sec. 223—State Leadership Activities, and (2) Actions applicable for Sec. 231—Grants and Contracts for Eligible Providers.

12.4 One-Stop Participation (Title I, Sec. 121(b)(1) and 20 CFR 662.220(b)(1))

The department wishes to emphasize that the responsibilities established by Title I of WIA are not secondary or subsidiary to the responsibilities and requirements established by Title II of WIA (AEFLA).

The requirements of both Title I of WIA and AEFLA must be satisfied. Eligible agencies must design their programs and plan for the use of funds in a manner that will enable them to satisfy both sets of requirements. Section 121(b)(1) of WIA and 20 CFR Sec. 662.200 and 20 CFR Sec. 662.220 identify mandatory One-Stop partner programs that have certain responsibilities with respect to the One-Stop partner delivery system in each local workforce investment area designated under section 116 of WIA. For programs under AEFLA, the entity responsible for fulfilling the One-Stop participation requirements is the state eligible agency. The eligible agency may designate one or more eligible providers in each local area to fulfill all or part of these responsibilities (20 CFR 662.220(b)(1)).

The participation of the eligible agency in the One-Stop delivery system (including the expenditure of ~~section~~ Section 231 funds related to that participation) must be consistent with the provisions of AEFLA (~~sees~~ Secs. 121(b)(1)(A)(ii), 134(d)(1)(b) of WIA). Include a description of the applicable provisions for AEFLA in One-Stop delivery systems in the state plan. See Program Memorandum OVAE 99-14 for additional information.



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APPENDIX A

DF424B - ASSURANCES - NON-CONSTRUCTION PROGRAMS

ED FORM 80-013 - CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

**Guide for the Development of a State Plan
under the
Adult Education and Family Literacy Act
(Title II of the Workforce Investment Act of 1998)**



OMB Control # 1830-0026

Expires: 05/31/2008

**U.S. Department of Education
Office of Vocational and Adult Education
Division of Adult Education and Literacy
Washington, D.C. 20202-7240**

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Appendix A. Certifications and Assurances

Introduction

Revising a State Plan

Each eligible agency receiving an adult education grant shall submit to, or have on file with, the Secretary a state plan for adult education and family literacy. State eligible agencies that previously submitted a plan will be submitting revisions in their adult education plan for Program Year 2006-2007, including performance targets for that year. Performance targets must exceed actual performance for the prior year. These revisions will enable the department to extend the plans for one year and make allotments of federal adult education funds on July 1, 2006.

To assist states in developing revisions to their plans, we are reinstating our original *Guide*, which includes appropriate references to various sections of the Adult Education and Family Literacy Act (AEFLA) or federal regulations. Submissions currently required need be only pertinent revisions, not full plans. In addition to new performance levels for Program Year 2006-2007, for example, states receiving Census-driven increases in their allotments would indicate what new state leadership activities they planned to undertake. States revising their funding formulas would outline these new formulas in their state plan revisions. These revisions are simply updated sections of the original plans. Revisions must meet requirements set for the original sections summarized below.

Transmittal

Revisions to the five-year state plan must be submitted to the Department of Education by April 1, 2006.

Electronic Submission: We strongly encourage eligible agencies to submit revisions electronically to expedite their review and approval. Revisions may be transmitted in a PC-compatible format (Microsoft Word or ASCII) by electronic mail to Joyce Campbell, Team Leader, at joyce.campbell@ed.gov or by OVERNIGHT delivery of a disk to the address below.

Submission by OVERNIGHT Delivery Service of Assurances and Certifications: If you choose to submit your revisions electronically, you must, in addition, send to us one signed original and two copies of the

assurances and certifications. These required assurances and certifications are found in Appendix A. Be sure to use a service that brings documents to our physical address, rather than our mail agency mailroom. Please note that the U.S. Postal Service's overnight mail does not directly deliver to us. Sending mail to the mailroom rather than by overnight services can delay receipt and review of revisions due to mail security requirements. You may also choose to submit a hard copy of your complete revisions by overnight delivery, including the signed assurances and certifications, but we encourage you to submit your revisions electronically to us.

Our physical delivery address is:

Cheryl L. Keenan, Director
Division of Adult Education and Literacy
U.S. Department of Education
550 12th Street SW
Washington, DC 20002-7240
Phone: 202-245-7000

Through delegated authority, the Assistant Secretary for Vocational and Adult Education approves state plans.

Format of the Plan Revision

An eligible agency has discretion in establishing the format of its state plan revisions, but it must address the requirements of the current legislation and the procedures contained in this *Guide*. States may send OVAE either only the revised sections or the entire plan in which revisions have been clearly marked, for example in Microsoft Word Track Changes format. The eligible agency should include in its plan revision an updated organizational chart reflecting the line of authority from the authorized state official signing the plan revision to the state director of adult education.

1.0 Eligible Agency Certifications and Assurances

[States must submit new, signed copies of these documents]

1.1 Certifications (EDGAR 76.104, Certifications and Assurances—a preprinted copy is included as Appendix A)

- (1) The plan is submitted by the state agency that is eligible to submit the plan.
- (2) The state agency has authority under state law to perform the functions of the state under the program.
- (3) The state legally may carry out each provision of the plan.
- (4) All provisions of the plan are consistent with state law.
- (5) A state officer, specified by title in the certification, has authority under state law to receive, hold, and disburse federal funds made available under the plan.
- (6) The state officer who submits the plan, specified by title in the certification, has authority to submit the plan.
- (7) The agency that submits the plan has adopted or otherwise formally approved the plan.
- (8) The plan is the basis for the state operation and administration of the program.

1.2 Assurances (Sec.224 (b) (5), (6), and (8) of AEFLA)

- (1) An assurance that the eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which the eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.
- (2) An assurance that the funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
- (3) An assurance that the eligible agency will expend the funds under this subtitle only in a manner consistent with fiscal requirements in section 241.

1.3 Assurance for Unified Plans Only (Title V—General Provisions
Sec.501(c)(3)(B))

(1) An assurance that the methods included an opportunity for the entities responsible for planning or administering such programs and activities to review and comment on all portions of the unified plan.

2.0 Needs Assessment (Sec. 224(b)(1))
[States are not required to update this section]

2.1 Individuals Most in Need

An objective assessment of individuals in the state or outlying area for adult education and literacy activities. The assessment should include individuals most in need or hardest to serve.

2.2 Populations

Information on populations should include:

- (1) Low income adult learners who are educationally disadvantaged;
- (2) Individuals with disabilities;
- (3) Single parents and displaced homemakers;
- (4) Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency;
- (5) Criminal offenders in correctional institutions and other institutionalized individuals.

Other populations, such as homeless adults, or children who are eligible to participate in family literacy programs, may also be included in the descriptions.

The term “displaced homemaker” is defined by section 101(10) of WIA:

“(10) DISPLACED HOME MAKER.—The term ‘displaced homemaker’ means an individual who has been providing unpaid services to family members in the home and who—
(A) has been dependent on the income of another family member but is no longer supported by that income; and

(B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.”

Further Information

Data should serve as a basis for enabling the agency to fund programs providing:

- (1) adult education and literacy services, including workplace literacy services;
- (2) family literacy services; and
- (3) English literacy programs.

Information may be obtained from local programs, census data, secondary analysis of data sources from other agencies, or a recent needs assessment.

If possible, it is recommended that the eligible agency conduct mutual assessments (either at the state or sub-state level) with its WIA and program partners or, at a minimum, create a planning process that promotes the sharing of needs assessment information. Sharing of assessment data can create the framework for coordinated and integrated services that are to be carried out through the one-stop delivery system established by WIA.

Also, because the state, under Title I, may require assessment requirements to support local plans developed by the local workforce development boards it is recommended that the eligible agency consider localizing its needs assessment. This local assessment information could prove valuable to local providers as they contribute to the work of local workforce boards. See also Section 9.0 of this *Guide*.

3.0 Description of Adult Education and Literacy Activities (Sec. 224(b)(2))

3.1 Descriptions of Allowable Activities

Descriptions of required local activities should include one or more programs that provide services or instruction in one or more of the following categories:

- (1) Adult education and literacy services, which may include workplace literacy services (Sec. 203 (18) defines these as “literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills”);
- (2) Family literacy services; and
- (3) English literacy programs (Sec. 231(b)).

The state plan should include as a minimum the scope, content, and organization of local activities.

3.2 Special Rule [Uses of Funds for Family Literacy]

Each eligible agency awarding a grant or contract under Sec. 231 [of AEFLA] shall not use any funds made available under this subtitle for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(1), except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy services. In providing family literacy services under this subtitle, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities other than adult education activities (Sec. 231(d)).

3.3. Descriptions of New Organizational Arrangements and Changes

Describe organizational changes at the state (include organizational chart) and local level including: one-stop delivery system, performance reporting for eligible providers, and state leadership activities.

4.0 Annual Evaluation of Adult Education and Literacy Activities (Sec. 224(b)(3))

4.1 Annual Evaluations

A description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities, based on the performance measures in Sec. 212 must be included. Information should be provided that describes how other program reviews and evaluations of state-

administered adult education programs, services and activities under the Act will be conducted.

The department strongly encourages states to evaluate the extent to which local programs employ scientifically based research in designing and implementing their programs and to compare the outcomes achieved by programs implementing different instructional strategies to gain some insight into their relative effectiveness that may merit further exploration and research. States should use the information and insights gained from these evaluations to inform its planning and allocation of resources. If an instructional strategy appears to be promising based on the results of program evaluations, the state should consider investing resources in further investigating the effectiveness of the strategy or disseminating information about its initial findings to other local programs.

Evaluation activities may include self-evaluation of program activities; assessments of progress in achieving state goals for adult education; the extent to which adult education goals for workers, the homeless, and other special populations have been met; the extent to which state adult education technology needs have been met; follow-up studies of former participants at 6-month, 12-month, and 15-month intervals; reviews of the effectiveness of teacher training; and the use of evaluation results to determine achievement of levels of performance for each of the core indicators for the eligible agencies (see Sec. 5.0 of the *Guide*).

Further Information

Describe measures, such as indicators of program quality, to ensure that program services and activities will take into account the findings of program reviews and evaluations.

5.0 Performance Measures (Sec. 224(b)(4)) **[Required for revisions]**

5.1 Eligible Agency Performance Measures (Sec. 212)

This section describes a comprehensive performance accountability system, comprised of activities to assess the effectiveness of eligible agencies in achieving continuous improvement in adult education and literacy activities

under this subtitle to optimize the return on investment of federal funds in adult education and literacy activities.

The eligible agency performance measures shall at a minimum consist of the core indicators of performance described in Sec. 212 (b)(2)(A):

- (1) Demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem-solving, English language acquisition, and other literacy skills.
- (2) Placement in, retention in, or completion of, postsecondary education, training, unsubsidized employment, or career advancement.
- (3) Receipt of a secondary school diploma or its recognized equivalent.

5.2 Optional - Additional Indicators

An eligible agency may identify additional indicators for adult education and literacy activities authorized under this subtitle. Levels of performance shall be considered as the eligible agency adjusted levels of performance for purposes of the plan.

5.3 Levels of Performance

Each eligible agency submitting a state plan revision shall establish levels of performance for adult education and literacy activities authorized under AEFLA. The levels of performance established in the revision shall at a minimum:

- (1) be expressed in an objective, quantifiable, and measurable form;
- (2) show the progress of the eligible agency toward continuous improvement in performance; and
- (3) exceed the actual performance level for each indicator measured in the prior year.

5.4 Factors (Sec. 212(b)(3)(A)(iv))

In preparing proposed levels of performance, the eligible agency shall take into account the following:

- (1) How the levels compare with the eligible agency adjusted levels of performance established for other eligible agencies, taking into account factors including the characteristics of participants who enter the program, and the services or instruction to be provided; and
- (2) The extent to which such levels promote continuous improvement in performance on the performance measures by such eligible agencies to ensure optimal return on the investment of federal funds.

Further Information

At a minimum, the eligible agency should identify and describe the process to be used to report on performance indicators common to the other programs in the WIA. (If the employment and training system is not prepared to discuss this issue, the eligible agency should insert a placeholder in the plan to be completed once plans can be developed with the other program partners.)

The eligible agency should include a description, when appropriate, of the process and procedures the state will use to develop and submit an application to compete for an incentive award.

The eligible agency should include a description, when appropriate, of the performance information that local providers must report to one-stop centers to become and remain eligible to receive various funds under Title I and describe the process used to identify and report performance information the one-stop center will make available to prospective clients.

6.0 Procedures for Funding Eligible Providers (Sec. 224 (b)(7)) ***[Required for Revisions]***

6.1 Applications

States must submit revisions to this section indicating whether they plan to extend current grants or conduct a one-year competition. If the one-year competition is selected, states must describe how the eligible agency will fund local activities in accordance with the considerations contained in Sec. 231 (e). (See Sec. 224 (b)). Each eligible provider desiring a grant or contract under AEFLA shall submit an application to the eligible agency containing information and assurances as the agency may require, including:

- (1) A description of how funds awarded under AEFLA will be spent; and
- (2) A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities. (Sec. 232)

6.2 Eligible Providers (Sec. 203 (5))

Eligible providers for a grant or contract are:

- (1) A local educational agency;
- (2) A community-based organization of demonstrated effectiveness;
- (3) A volunteer literacy organization of demonstrated effectiveness;
- (4) An institution of higher education;
- (5) A public or private nonprofit agency;
- (6) A library;
- (7) A public housing authority;
- (8) A nonprofit institution that is not described in any of these subparagraphs and has the ability to provide literacy services to adults and families; and
- (9) A consortium of the agencies, organizations, institutions, libraries, or authorities described in any of items (1) through (8) (Sec. 203)(5))

Community-based organizations and non-profit institutions include non-profit faith-based organizations.

6.3 Notice of Availability

Describe the process to show that public notice was given of the availability of federal funds to eligible recipients. (See Sec. 10 for information on direct and equitable access.)

6.4 Process

Describe the procedures for submitting applications to the state including approximate time frames for the notice and the receipt of applications.

6.5 Evaluation of Applications (Sec. 231 (e))

In awarding grants or contracts under this section, the eligible provider shall consider:

- (1) The degree to which the eligible provider will establish measurable goals;
- (2) The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under Sec. 212 of AEFLA, the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with lower levels of literacy;
- (3) The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills;
- (4) Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains; and uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read;
- (5) Whether the activities are built on a strong foundation of research and effective educational practice;
- (6) Whether the activities effectively employ advances in technology, as appropriate, including the use of computers;
- (7) Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship;
- (8) Whether the activities are staffed by well-trained instructors, counselors, and administrators;
- (9) Whether the activities coordinate with other available resources in the community, such as establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies;
- (10) Whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to

enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
(11) Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures; and
(12) Whether the local communities have a demonstrated need for additional English literacy programs (Sec. 231)(e)).

6.6 Special Rule (Sec. 223(c))

Whenever a state or outlying area implements any rule or policy relating to the administration or operation of a program authorized under AEFLA that has the effect of imposing a requirement that is not imposed under federal law (including any rule or policy based on a state or outlying area interpretation of a federal statute, regulation, or guideline), the state or outlying area shall identify, to eligible providers, the rule or policy as being state--or outlying area-imposed.

If a state agency plans to create any such rule or policy, the agency should send ED a copy when the rule or policy is implemented.

Further Information

If appropriate, the eligible agency should describe any guidance being developed jointly with the state agency responsible for WIA Title I programs regarding the scope and implementation of the required MOUs between local formal partners and the one-stop system. For example, what will be the eligible agency's policy, if any, on the range of services and activities to be integrated at the local level and what types of financial arrangements will be allowable between local providers and the one-stop centers? See also Section 9.0.

If appropriate, the eligible agency should describe the process to be used to allocate state leadership funds to provide incentive awards to local providers for local coordination and integration with the one-stop system.

7.0 Public Participation and Comment (Sec. 224 (b)(9))

7.1 Description of Activities

This section should describe the types of activities and outcomes that were conducted to meet this requirement. The eligible agency should include specific information on how the various WIA agency and program partners were involved in developing the adult education state plan.

7.2 Governor's Comments [*Required for revisions*]

The eligible agency shall submit the state plan and any revisions of the state plan to the Governor of the state or outlying area for review and comment and ensure that any comments regarding the state plan are submitted to the Secretary (Sec. 224)(d)). Please note that the Governor's comments must be submitted to us along with your state plan revisions.

Further Information

This could include consultations with other appropriate agencies, groups, and individuals that are involved in, or interested in, the development and implementation of activities assisted under AEFLA. The department encourages states to include contacts with faith-based organizations in these consultations. Activities that may be used by state agencies include:

- (1) Conducting a series of public meetings across a state;
- (2) Conducting a series of interactive video conferences;
- (3) Sending copies out to public locations, such as libraries, for comment;
- (4) Requesting responses by Internet;
- (5) Presenting local data and needs to area officials and stakeholders;
- (6) Sending copies of the draft plan to agency officials for comment;
- and
- (7) Establishing a listserv for dialogue.

Also, the eligible agency should ensure that current state requirements for developing a state plan revision are met.

The eligible agency should include specific information on how the various WIA agency and program partners and others were involved in developing the adult education state plan.

8.0 Descriptions of Program Strategies for Populations (Sec. 224 (b)(10))

8.1 Strategies

Data from needs assessments could assist the agency in developing innovative approaches to serving various population cohorts as a minimum. Include populations mentioned in 2.2 of the *Guide*.

Examples of existing strategies might include: a television series for students with limited English proficiency, such as *Crossroads Café*; expanding services to students in low-income housing projects; or initiating GED on the Internet for single parents and displaced homemakers unable to easily leave home.

Further Information

Data could also be obtained from some of the other related programs involved in the planning, development, or implementation of the WIA.

9.0 Integration with Other Adult Education and Training (Sec. 224 (b)(11))

9.1 Description of Planned Integrated Activities

A description of how the adult education and literacy activities that will be carried out with any funds received under AEFLA will be integrated with other adult education, career development, and employment and training activities in the state or outlying area served by the eligible agency (Sec. 224)(b)(11)). For example, the eligible agency may wish to describe how adult education activities will be made available through the one-stop delivery system established by WIA.

9.2 State Unified Plan

Sec. 501 of WIA permits a state to submit its plan for adult education and literacy as part of a state unified plan. See Sec. 501 for details on how the adult education plan could relate to the state plan for the following programs under a unified plan:

- (1) Secondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.);
- (2) Postsecondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.);
- (3) Activities authorized under Title I;
- (4) Programs authorized under Section 6(d) of the Food Stamp Act of 1977 (7 U.S.C. 2015(d));
- (5) Work programs authorized under Section 6(o) of the Food Stamp Act of 1977 (7 U.S.C. 2015(o));
- (6) Activities authorized under Chapter 2 of Title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.);
- (7) Programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.);
- (8) Programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), other than Section 112 of such Act (29 U.S.C. 732);
- (9) Activities authorized under Chapter 41 of Title 38, United States Code;
- (10) Programs authorized under state unemployment compensation laws (in accordance with applicable Federal law);
- (11) Programs authorized under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- (12) Programs authorized under Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.);
- (13) Training activities carried out by the Department of Housing and Urban Development; and
- (14) Programs authorized under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.).

If your state will be submitting a unified plan, describe the activities that will be coordinated within your state.

10.0 Description of the Steps to Ensure Direct and Equitable Access (Sec. 224 (b)(12))

10.1 Description of Steps

Describe the steps the eligible agency will take to ensure direct and equitable access, as required in Section 231(c).

10.2 Notice of Availability

Each eligible agency receiving funds under this subtitle shall ensure that—

- (1) all eligible providers have direct and equitable access to apply for grants or contracts under this section; and
- (2) the same grant or contract announcement process and application process is used for all eligible providers in the State or outlying area. (Sec. 231)(c)).

Further Information

Describe how applicants will apply for: Sec. 231—local activities, Sec. 223—state leadership, and Sec.225—corrections education and other institutionalized individuals. Include the process the agency will use to ensure public notice will be given concerning the availability of federal and state funds to eligible recipients throughout the state.

11.0 Programs for Corrections Education and other Institutionalized Individuals (Sec. 225)

11.1 Types of Programs

From funds made available under Sec. 222(a)(1) for a fiscal year, each eligible agency shall carry out corrections education or education for other institutionalized individuals, including academic programs. Funds shall be used for the cost of educational programs for criminal offenders in correctional institutions and for other institutionalized individuals, including academic programs for:

- (1) Basic education;
- (2) Special education programs as determined by the eligible agency;
- (3) English literacy programs; and
- (4) Secondary school credit programs.

11.2 Priority

Each eligible agency that is using assistance programs under this section to carry out a program for criminal offenders in a correctional institution shall give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

11.3 Types of Institutional Settings

Correctional institution means any

- (1) Prison;
- (2) Jail;
- (3) Reformatory;
- (4) Work farm;
- (5) Detention center; or
- (6) Halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.

Further Information

Describe the policies, procedures, and activities for carrying out corrections education or education for other institutionalized individuals.

Note: The eligible agency may not spend more than the 10 percent of the 82.5 percent of the state grant that must be allotted to local programs for Sec. 225 activities.

12.0 State Leadership Activities (Sec. 223 (a), (b))

12.1 Description of Activities

Each eligible agency shall use funds made available under Section 222(a)(2) for one or more of the following adult education and literacy activities:

- (1) The establishment or operation of professional development programs to improve the quality of instruction provided pursuant to local activities required under Section 231(b) including instruction incorporating phonemic awareness, systematic phonics, fluency, and

reading comprehension, and instruction provided by volunteers or by personnel of a state or outlying area.

(2) The provision of technical assistance to eligible providers of adult education and literacy activities.

(3) The provision of technical assistance, including staff training, to eligible providers of adult education and literacy activities to enable the eligible providers to improve the quality of such activities.

(4) The support of state or regional networks of literacy centers.

(5) The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities.

(6) Incentives for program coordination and integration and performance awards.

(7) Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension.

(8) Other activities of statewide significance that promote the purpose of this title.

(9) Coordination with existing support services, such as transportation, child care, and other assistance designed to increase rates of enrollment in, and successful completion of, adult education and literacy activities, to adults enrolled in such activities.

(10) Integration of literacy instruction and occupational skill training, and promoting linkages with employers.

(11) Linkages with postsecondary educational institutions.

12.2 Description of Joint Planning and Coordination for Unified Plan Only (Title V—General Provisions, Sec. 501(c)(3)(A))

Information should contain a description of the methods used for joint planning and coordination of the programs and activities included in the unified plan.

12.3 Description of Activities under Section 427 of the General Education Provisions Act (GEPA).

This section should include information describing the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other beneficiaries with special needs. Information should describe the steps such applicant proposes to take to ensure equitable access to, and equitable participation in,

the project or activity to be conducted with such assistance by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability, and age. As a minimum two illustrations shall be included: (1) Actions the eligible agency will take under Sec. 223—State Leadership Activities, and (2) Actions applicable for Sec. 231—Grants and Contracts for Eligible Providers.

12.4 One-Stop Participation (Title I, Sec. 121(b)(1) and 20 CFR 662.220(b)(1))

The department wishes to emphasize that the responsibilities established by Title I of WIA are not secondary or subsidiary to the responsibilities and requirements established by Title II of WIA (AEFLA).

The requirements of both Title I of WIA and AEFLA must be satisfied. Eligible agencies must design their programs and plan for the use of funds in a manner that will enable them to satisfy both sets of requirements. Section 121(b)(1) of WIA and 20 CFR Sec. 662.200 and 20 CFR Sec. 662.220 identify mandatory One-Stop partner programs that have certain responsibilities with respect to the One-Stop partner delivery system in each local workforce investment area designated under section 116 of WIA. For programs under AEFLA, the entity responsible for fulfilling the One-Stop participation requirements is the state eligible agency. The eligible agency may designate one or more eligible providers in each local area to fulfill all or part of these responsibilities (20 CFR 662.220(b)(1)).

The participation of the eligible agency in the One-Stop delivery system (including the expenditure of Section 231 funds related to that participation) must be consistent with the provisions of AEFLA (Secs. 121(b)(1)(A)(ii), 134(d)(1)(b) of WIA). Include a description of the applicable provisions for AEFLA in One-Stop delivery systems in the state plan. See Program Memorandum OVAE 99-14 for additional information.



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APPENDIX A

DF424B - ASSURANCES - NON-CONSTRUCTION PROGRAMS

ED FORM 80-013 - CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS